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BEFORE THE ARIZONA CORPORATION COMMISSION

AZ CORP COMMISSION
DOCKET CONTROL

2016 DEC -2 P 3:01

COMMISSIONERS

DOUG LITTLE - Chairman
BOB STUMP
BOB BURNS
TOM FORESE
ANDY TOBIN

In the matter of:

CONCORDIA FINANCING COMPANY,
LTD, a/k/a "CONCORDIA FINANCE,"

ER FINANCIAL & ADVISORY
SERVICES, L.L.C.,

LANCE MICHAEL BERSCH, and

DAVID JOHN WANZEK and LINDA
WANZEK, husband and wife,

Respondents.

DOCKET NO. S-20906A-14-0063

STIPULATION FOR ADMISSION OF
CERTAIN SECURITIES DIVISION
EXHIBITS

Arizona Corporation Commission
DOCKETED

DEC 02 2016

DOCKETED BY

The Securities Division ("Division") and Respondents Concordia Financing Company, Ltd. ("Concordia"), ER Financial & Advisory Services, L.L.C. ("ER Financial"), Lance Michael Bersch ("Mr. Bersch"), and David John Wanzek and Linda Wanzek ("Mr. and Mrs. Wanzek") respectfully submit this stipulation for the admission of the Division's exhibits which have the titles of "Sale of Contracts", "Custodial Agreement", "First Amendment to Sale of Contracts" and "Second Amendment to Sale of Contracts" as described below. Please note that the exhibit numbers with no description are not covered by the stipulation.

Specifically, these exhibits include the following:

Exhibit No.	Description
S-1	
S-2	Investment documents for the Suellen LeMay Living Trust 1/20/2000: a) Sale of Contracts dated 4/30/2002 b) Custodial Agreement dated 4/30/2002 c) First Amendment to Sale of Contracts (unsigned) d) Second Amendment to Sale of Contracts
S-3	Investment documents for Suellen LeMay Living Trust 1/20/2000: a) Sale of Contracts dated 4/30/2002 b) Custodial Agreement dated 4/30/2002 c) Second Amendment to Sale of Contracts effective 12/1/2011
S-4	Investment documents for Verne and Andrea Singleton: a) Sale of Contracts (undated) b) Custodial Agreement (undated) c) Second Amendment to Sale of Contracts effective 12/1/2011 d) Sale of Contracts dated 10/24/2005 e) Custodial Agreement dated 10/24/2005
S-5	Investment documents for Verne & Andrea Singleton: a) Sale of Contracts dated 10/24/2005 b) Custodial Agreement dated 10/24/2005 c) Second Amendment to Sale of Contracts effective 12/1/2011
S-6	Investment documents for Singleton Revocable Trust 2/13/86: a) Sale of Contracts dated 5/7/2002 b) Custodial Agreement dated 5/7/2002 c) Second Amendment to Sale of Contracts effective 12/1/2011
S-7	Investment documents for Singleton Revocable Trust 2/13/86: a) Sale of Contracts dated 5/7/2002 b) Custodial Agreement dated 5/7/2002 c) Second Amendment to Sale of Contracts effective 12/1/2011 d) Second Amendment to Sale of Contracts executed on 11/1/2007 for Walter Singleton Decedent Trust
S-8	Investment documents for Paul Singleton: a) Sale of Contracts dated 10/10/2005 b) Custodial Agreement dated 10/10/2005 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-9	Investment documents for Landon B. Phillips Living Trust dated 6/11/91: a) Sale of Contracts dated 8/5/1999 b) Custodial Agreement dated 8/5/1999 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011

Exhibit No.	Description
S-10	Investment documents for Landon B. Phillips Living Trust dated 6/11/91: a) Sale of Contracts dated 8/5/1999 b) Custodial Agreement dated 8/5/1999 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-11	Investment documents for Wesley Luhr: a) Sale of Contracts dated 5/11/2004 b) Custodial Agreement dated 5/11/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-12	Investment documents for Wesley Luhr: a) Sale of Contracts dated 5/11/2004 b) Custodial Agreement dated 5/11/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-13	Investment documents for William W. Pike and Jean A. Pike Trust: a) Sale of Contracts dated 5/11/2004 b) Custodial Agreement dated 5/11/2004 c) First Amendment to Sale of Contracts previously executed on 3/1/2004 d) First Amendment to Sale of Contracts previously executed on 3/1/2004 for the William W. Pike Living Trust dated July 26, 2010 e) Second Amendment to Sale of Contracts previously executed on 3/1/2004 for William W. and Jean A. Pike
S-14	Investment documents for William W. Pike and Jean A. Pike Trust: a) Sale of Contracts dated 5/11/2004 b) Custodial Agreement dated 5/11/2004 c) First Amendment to Sale of Contracts previously executed on 3/1/2004 for the William W. Pike Living Trust dated July 26, 2010 d) First Amendment to Sale of Contracts previously executed on 3/1/2004 for the William W. Pike Living Trust dated July 26, 2010 e) Second Amendment to Sale of Contracts previously executed on 3/1/2004 for William W. and Jean A. Pike
S-15	Investment documents for Linda Tarrant: a) Sale of Contracts dated 7/8/2004 b) Custodial Agreement dated 7/8/2004 c) First Amendment to Sale of Contracts effective 2/1/2009
S-16	Investment documents for Linda Tarrant: a) Sale of Contracts dated 7/8/2004 b) Custodial Agreement dated 7/8/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-17	Investment documents for Stephen P. Dennison: a) Sale of Contracts dated 3/30/2000 b) Custodial Agreement dated 3/30/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011

Exhibit No.	Description
S-18	Investment documents for Theresa Patricola and Steven Patricola: a) Sale of Contracts dated 4/1/2008 b) Custodial Agreement dated 4/1/2008 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-19	Investment documents for Theresa Patricola and Steven Patricola: a) Sale of Contracts dated 4/1/2008 b) Custodial Agreement dated 4/1/2008 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-20	Investment documents for Samuel Nichols and Lea Rae Nichols: a) First Amendment to Sale of Contracts executed on 1/23/2004 b) Second Amendment to Sale of Contracts executed on 1/23/2004 c) Signature page of Custodial Agreement signed Lea Rea Nichols Trustee
S-21	Investment documents for Nichols Family Trust dated 12/15/2000: a) Sale of Contracts dated 1/23/2004 b) Custodial Agreement dated 1/23/2004 c) First Amendment to Sale of Contracts previously executed on 1/23/2004 d) Second Amendment to Sale of Contracts previously executed on 1/23/2004 by Samuel Nichols and Lea Rae Nichols, trustees
S-22	Investment documents for McCullough Family Trust dated 5/13/1988: a) Sale of Contracts dated 8/28/2002 b) Custodial Agreement dated 8/28/2002
S-23	Investment documents for McCullough Family Trust dated 5/13/1988: a) Sale of Contracts dated 8/28/2002 b) Custodial Agreement dated 8/28/2002
S-24	Investment documents for Donald T. and Kathy S. Hodel: a) Sale of Contracts dated 10/6/1999 b) Custodial Agreement dated 10/6/1999 c) Sale of Contracts dated 10/19/2001 d) Custodial Agreement dated 10/19/2001 e) First Amendment to Sale of Contracts executed on 10/19/2001 f) Second Amendment to Sale of Contracts executed on 10/19/2001 g) Sale of Contracts dated 2/13/2004 h) Sale of Contracts dated 1/10/2005 i) Custodial Agreement dated 1/10/2005 j) First Amendment to Sale of Contracts executed on 1/10/2005 k) Second Amendment to Sale of Contracts executed on 1/10/2005
S-25	Investment documents for Donald T. and Kathy S. Hodel: a) Sale of Contracts dated 10/6/1999 b) Custodial Agreement dated 10/6/1999 c) Sale of Contracts dated 10/19/2001 d) Custodial Agreement dated 10/19/2001 e) First Amendment to Sale of Contracts executed on 10/19/2001 f) Second Amendment to Sale of Contracts executed on 10/19/2001 g) Sale of Contracts dated 2/13/2004 h) Custodial Agreement dated 2/13/2004

Exhibit No.	Description
	i) Sale of Contracts dated 1/10/2005 j) Custodial Agreement dated 1/10/2005 k) First Amendment to Sale of Contracts executed on 1/10/2005 l) Second Amendment to Sale of Contracts executed on 1/10/2005
S-26	Investment documents for Lynn Caputo and Anthony J. Caputo: a) Sale of Contracts dated 11/10/2005 b) Custodial Agreement dated 11/10/2005 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts executed on 11/10/2005 e) Second Amendment to Sale of Contracts executed on 1/19/2007 f) Second Amendment to Sale of Contracts executed on 1/19/2007 g) Second Amendment to Sale of Contracts executed on 2/2/2007
S-27	Investment documents for James Gayle and Lynn Caputo (Lorraine H. Gayle Revocable Trust dated 3/18/04: a) Sale of Contracts dated 1/19/2007 b) Custodial Agreement dated 1/19/2007 c) First Amendment to Sale of Contracts executed on 1/19/2007 d) First Amendment to Sale of Contracts executed on 1/19/2007 e) First Amendment to Sale of Contracts executed on 1/19/2007
S-28	Investment documents for James S. and Harriet A. Gayle: a) Second Amendment to Sale of Contracts executed on 2/2/2007
S-29	Investment documents for Rick and Beverly Stephens (Stephens Family Trust dated 1/19/93): a) Sale of Contracts dated 9/17/2003 b) Custodial Agreement dated 9/17/2003 c) First Amendment to Sale of Contracts executed on 9/17/2003 d) Second Amendment to Sale of Contracts executed on 9/17/2003 e) First Amendment to Sale of Contracts executed on 9/17/2003 f) Second Amendment to Sale of Contracts executed on 9/17/2003
S-30	Investment documents for William H and Barbara A. Shufflebotham Revocable Trust dated 1/27/98: a) Sale of Contracts dated 7/18/2008 b) Custodial Agreement dated 7/18/2008 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Signature page to Second Amendment to Sale of Contracts
S-31	
S-32	Investment documents for Wilmont E. Wagner & Elaine Wagner Living Trust dated 12/7/1989: a) Sale of Contracts dated 4/15/2008 b) Custodial Agreement dated 4/15/2008 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-33	Investment documents for Wilmont E. Wagner & Elaine Wagner Living Trust dated 12/7/1989: a) Sale of Contracts dated 4/15/2008 b) Custodial Agreement dated 4/15/2008 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-34	Investment documents for the CJE Living Trust dated 10/1/2007, (Carol Edmonds): a) Sale of Contracts dated 5/30/2008 b) Custodial Agreement dated 5/30/2008 c) First Amendment to Sale of Contracts effective 2/1/2009

Exhibit No.	Description
	d) Second Amendment to Sale of Contracts effective 12/1/2011
S-35	Investment documents for the Robert F. Edmonds: a) Sale of Contracts dated 12/15/2004 b) Custodial Agreement dated 12/15/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-36	Investment documents for Peter and Debra Foti: a) Sale of Contracts dated 6/30/2008 b) Custodial Agreement dated 6/30/2008 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-37	Investment documents for Frank J. Foti: a) First Amendment to Sale of Contracts executed on 4/1/2005 b) Second Amendment to Sale of Contracts executed on 4/1/2005
S-38	Investment documents for Frank Foti: a) Sale of Contracts dated 6/30/2008 b) Custodial Agreement dated 6/30/2008 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-39	Investment documents for Yvonne Foti: a) Sale of Contracts dated 8/30/2006 b) Custodial Agreement dated 8/30/2006 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-40	Investment documents for Bric Retirement Trust 26-0533505 (Archana Aliyar): a) Sale of Contracts dated 6/15/2008 b) Custodial Agreement dated 6/15/2008 c) First Amendment to Sale of Contracts effective 2/1/2009
S-41	Investment documents for John P. & Maricele Putnam: a) Sale of Contracts dated 4/1/2000 b) Custodial Agreement dated 4/1/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-42	Investment documents for John P. & Maricele M. Putnam: a) Sale of Contracts dated 4/9/2004 b) Custodial Agreement dated 4/9/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-43	Investment documents for Susan J. Collins: a) Sale of Contracts dated 4/20/2000 b) Custodial Agreement dated 4/20/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-44	Investment documents for Ronald and Gardes Collins: a) Sale of Contracts dated 5/15/2001 b) Custodial Agreement dated 5/15/2001 c) First Amendment to Sale of Contracts effective 2/1/2009

Exhibit No.	Description
	d) Second Amendment to Sale of Contracts for Gardes Collins effective 12/1/2011
S-45	Investment documents for William and Barbara Anderson Charitable Trust: a) Sale of Contracts dated 1/14/2003 b) Custodial Agreement dated 1/14/2003 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-46	Investment documents for William and Barbara Anderson: a) Sale of Contracts dated 6/22/2004 b) Custodial Agreement dated 6/22/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-47	Investment documents for Nancy Lynn Anderson Family Trust Dated 9/8/1999: a) Sale of Contracts dated 6/7/2002 b) Custodial Agreement dated 6/17/2002 c) Second Amendment to Sale of Contracts effective 12/1/2011
S-48	Investment documents for the Mendenhall Family Trust Dated 3/21/2000: a) Sale of Contracts dated 3/14/2003 b) Custodial Agreement dated 3/14/2003 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-49	Investment documents for the Mendenhall Family Trust Dated 3/21/2000: a) Sale of Contracts dated 7/15/2004 b) Custodial Agreement dated 7/15/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-50	Investment documents for Gene and Linda Bronsart: a) Sale of Contracts dated 9/1/2004 b) Custodial Agreement dated 9/1/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-51	Investment documents for Bert D. Beaman: a) Sale of Contracts dated 2/24/2004 b) Custodial Agreement dated 2/24/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-52	Investment documents for the Donald J. Mills Trust and Ruth B Mills Trust dated 8/1/80: a) Sale of Contracts dated 2/9/2004 b) Custodial Agreement dated 2/9/2004
S-53	Investment documents for the Newberry Trust: a) First Amendment to Sale of Contracts executed on 2/9/2004 b) Second Amendment to Sale of Contracts executed on 2/9/2004
S-54	Investment documents for Darrell and Kathy Martin: a) Sale of Contracts dated 2/17/2004 b) Custodial Agreement dated 2/17/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-55	Investment documents for Lester Galst and Jo Black: a) Undated Sale of Contracts for \$50,000 with hand written note to add to the 12% contract

Exhibit No.	Description
	b) Sale of Contracts for \$100,000 dated 2/5/2001 c) Custodial Agreement dated 2/5/2001 d) First Amendment to Sale of Contracts effective 2/1/2009 e) Second Amendment to Sale of Contracts effective 12/1/2011
S-56	Investment documents for Lester Galst and Jo Black: a) Sale of Contracts for \$100,000 dated 2/20/2004 b) Custodial Agreement dated 2/20/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-57	Investment documents for David Roth and Jan Marie Adams Trust: a) Sale of Contracts dated 3/6/2004 b) Custodial Agreement dated 3/6/2004 c) First Amendment executed by David Roth only to 3/6/04 Sale of Contracts d) Second Amendment to Sale of Contracts executed by David Roth e) First Amendment to 3/6/2004 Sale of Contracts for Jan Marie Adams
S-58	Investment documents for the Marriott Family: a) Sale of Contracts for \$100,000 signed by Jilma Marriott on 3/22/2004 b) Custodial Agreement signed by Jilma Marriott on 3/22/2004 c) First Amendment to 3/22/2004 Sale of Contracts signed by Jilma Marriott d) First Amendment to 3/22/2004 Sale of Contracts signed by Carmen Marriott e) Second Amendment to 3/22/2004 Sale of Contracts with Jilma Marriott signed by Carmen Marriott, trustee on behalf of Jilma Marriott f) Second Amendment to 3/22/2004 Sale of Contracts with Carmen Marriott
S-59	Investment documents for Lindy Eppinger: a) First Amendment to 3/22/2004 Sale of Contracts effective 2/1/2009
S-60	Investment documents for Donald and Anita Herman: a) Sale of Contracts dated 3/1/2004 b) Custodial Agreement dated 3/1/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-61	Investment documents for Donna Culwell: a) Sale of Contracts dated 3/15/2004 b) Custodial Agreement dated 3/15/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-62	Investment documents for John and Darlene Lorscheider: a) Sale of Contracts dated 4/12/2004 b) Custodial Agreement dated 4/12/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-63	Investment documents for Jack S. and Laura M. Lawton Family Trust 1/26/96: a) Sale of Contracts dated 4/16/2004 b) Custodial Agreement dated 4/15/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011

Exhibit No.	Description
S-64	Investment documents for Mary Ann Lewis Revocable Trust 3/26/2003 and the Weiss Family Living Trust dated Jan 1993: a) Sale of Contracts dated 4/7/2004 b) Custodial Agreement dated 4/7/2004
S-65	Investment documents for Mary Ann Lewis: a) Sale of Contracts dated 1/1/2005 b) Custodial Agreement dated 1/1/2005 c) First Amendment to the 1/1/2004 Sale of Contracts effective 2/1/2009 d) Second Amendment to 1/1/2004 Sale of Contracts effective 12/1/2011
S-66	Investment documents for Gene Weiss: a) Sale of Contracts dated 1/1/2005 b) Custodial Agreement dated 1/1/2005
S-67	Investment documents for the Weiss Family Living Trust 1/21/1993 (Patricia Weiss): a) Sale of Contracts dated 5/10/2006 b) Custodial Agreement dated 5/10/2006 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-68	Investment documents for David or Maridee Ridgeway: a) Sale of Contracts dated 6/12/2002 b) Custodial Agreement dated 6/12/2002 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-69	Investment documents for David or Maridee Ridgeway: a) Sale of Contracts dated 7/6/2003 b) Custodial Agreement dated 7/6/2003 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-70	Investment documents for David or Maridee Ridgeway: a) Sale of Contracts dated 4/1/2005 b) First Amendment to Sale of Contracts effective 2/1/2009 c) Second Amendment to Sale of Contracts effective 12/1/2011
S-71	Investment documents for Fred and Dori Grover: a) Sale of Contracts dated 8/13/2003 b) Custodial Agreement dated 8/13/2003 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-72	Investment documents for Wanzek Family Trust (Dorothy Wanzek): a) Sale of Contracts dated 4/1/1999 b) First Amendment to Sale of Contracts executed on 2/22/2000 c) Second Amendment to Sale of Contracts executed on 2/22/2000 d) Sale of Contracts dated 2/22/2000 e) Custodial Agreement dated 2/22/2000
S-73	Investment documents for Dorothy Wanzek: a) First Amendment to Sale of Contracts executed on 8/1/2003 b) Second Amendment to Sale of Contracts executed on 2/22/2000
S-74	Investment documents for Vincent Wanzek (Dorothy Wanzek): a) Sale of Contracts dated 8/1/2003 b) Custodial Agreement dated 8/1/2003

Exhibit No.	Description
S-75	Investment documents for Michael Bersch as trustee for the Jacob and Olga Schuringa Charitable Remainder Trust dated 5/27/97: a) Sale of Contracts dated 12/6/1999 b) Custodial Agreement dated 12/6/1999 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-76	Investment documents for Campbell Family Trust (Robert and Norma Campbell): a) Sale of Contracts dated 9/10/2003 b) Custodial Agreement dated 9/10/2003 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-77	Investment documents Susan L. Ryen a) Sale of Contracts dated 6/13/2002 for \$50,000 b) Custodial Agreement dated 6/13/2002
S-78	Investment documents for Herbert or Susan Ryen a) Sale of Contracts dated 10/23/2003 for \$130,000 b) Custodial Agreement dated 10/23/2003
S-79	Investment documents for the Ryen Family Trust FBO Herbert D. Ryen or Susan L. Ryen: a) Sale of Contracts dated 3/16/2006 for \$130,000 b) Custodial Agreement dated 3/16/2006 c) Second Amendment to Sale of Contracts effective 12/1/2011 (0896)
S-80	Investment documents for the Ryen Family Trust FBO Herbert D. Ryen or Susan L. Ryen: a) Sale of Contracts dated 3/16/2006 for \$265,000 b) Custodial Agreement dated 3/16/2006 c) Sale of Contracts dated 3/16/2006 for \$241,883.56 d) Custodial Agreement dated 3/16/2006 e) Signature page for First Amendment to Sale of Contracts (0859) f) Signature page for First Amendment to Sale of Contracts (0890) g) Second Amendment to Sale of Contracts executed on 6/1/2002 (0859) h) Second Amendment to Sale of Contracts executed on 8/1/2003 (0890)
S-81	Investment documents for William Roger Fosseen: a) Sale of Contracts dated 5/22/2002 b) Custodial Agreement dated 5/22/2002 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-82	Investment documents for Roger and Monika Fosseen: a) Sale of Contracts dated 10/20/2003 b) Custodial Agreement dated 10/20/2003 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-83	Investment documents for Judith Haiar (Rollover IRA): a) Sale of Contracts dated 12/17/2003 b) Custodial Agreement dated 12/17/2003 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-84	Investment documents for Abner and Shirley Schultz: a) Sale of Contracts dated 7/19/2002

Exhibit No.	Description
	b) Custodial Agreement dated 7/19/2002 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Signature page for Second Amendment to Sale of Contracts
S-85	Investment documents for Abner and Shirley Schultz: a) Sale of Contracts dated 7/19/2002 b) Custodial Agreement dated 7/19/2002 c) Signature page for First Amendment to Sale of Contracts d) Signature page for Second Amendment to Sale of Contracts
S-86	Investment documents for James and Carolyn Benson: a) Sale of Contracts dated 7/19/2002 b) Custodial Agreement dated 7/19/2002 c) Signature page for First Amendment to Sale of Contracts d) Signature page for Second Amendment to Sale of Contracts
S-87	Investment documents for John M. Santy: a) Sale of Contracts dated 8/20/2002 b) Custodial Agreement dated 8/20/2002 c) First Amendment to Sale of Contracts d) Second Amendment to Sale of Contracts
S-88	Investment documents for Sterling McCowan: a) Sale of Contracts dated 11/1/2002 b) Custodial Agreement dated 11/1/2002 c) Signature page for First Amendment to Sale of Contracts d) Second Amendment to Sale of Contracts executed on 3/1/2003
S-89	Investment documents for Maureen DeJulio: a) Sale of Contracts dated 11/18/2002 b) Custodial Agreement dated 11/18/2002 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-90	Investment documents for Keith Roberts and Laura Lange: a) Sale of Contracts dated 3/1/2003 b) Custodial Agreement dated 3/1/2003 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-91	Investment documents for the Nolden Family Trust Dated 3/23/2003, Frederic and Judith Nolden, Trustees: a) Sale of Contracts dated 3/26/2003 b) Custodial Agreement dated 3/26/2003 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-92	
S-93	Investment documents for the Joseph Trust: a) Sale of Contracts dated 5/29/2002 b) Custodial Agreement dated 5/29/2002 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-94	Investment documents (for Joanna Pellerita) for the benefit of Rosalie Desanto: a) Sale of Contracts dated 5/23/2002 b) Custodial Agreement dated 5/23/2001

Exhibit No.	Description
	c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-95	Investment documents for Gale Dom f/k/a Gale Barg: a) First Amendment to Sale of Contracts executed on 2/26/2002 (no signature page) b) Second Amendment to Sale of Contracts effective 12/1/2011
S-96	Investment documents for Robert Robinson or Sherry Robinson: a) Sale of Contracts dated 6/19/2002 b) Custodial Agreement dated 6/19/2002 c) First Amendment to Sale of Contracts executed on 6/19/2002 d) Second Amendment to Sale of Contracts executed on 6/19/2002 e) Amount page from Sale of Contracts with copies of checks for \$100,000 dated 6/19/2002 and \$79,000 dated 11/16/2004
S-97	Investment documents for Jack R Adams and Geraldine M Adams: a) Sale of Contracts dated 6/13/2002 b) Custodial Agreement dated 6/13/2002 c) First Amendment to Sale of Contracts signed by Jeff Adams on behalf of Jack Adams d) Second Amendment to Sale of Contracts signed by Jeff Adams on behalf of Jack Adams
S-98	Investment documents for Aldridge Family Trust Dated 9/20/2003: a) Sale of Contracts dated 4/5/2006 b) Custodial Agreement dated 4/5/2006 c) Second Amendment to Sale of Contracts effective 12/1/2011
S-99	Investment documents for Michael and Lisa Carr: a) Sale of Contracts dated 6/27/2006 b) First Amendment to Sale of Contracts effective 2/1/2009 c) Second Amendment to Sale of Contracts effective 12/1/2011
S-100	Investment documents for Gerald R Englert: a) Sale of Contracts dated 7/5/2006 b) Custodial Agreement dated 7/5/2006 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-101	Investment documents for Gregory and Lori Bachmann: a) Sale of Contracts dated 7/31/2006 b) Custodial Agreement dated 7/31/2006 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-102	Investment documents for Peggy Reynolds: a) Sale of Contracts dated 9/3/2006 for \$100,000 b) Pages form Sale of Contracts dated 9/3/2006 for \$200,000 c) Custodial Agreement dated 9/3/2006 d) First Amendment to Sale of Contracts effective 2/1/2009 e) Second Amendment to Sale of Contracts effective 12/1/2011
S-103	
S-104	Investment documents for Jack and Marjorie Guest Charitable Remainder Trust: a) Sale of Contracts dated 12/18/2000 b) Custodial Agreement dated 12/18/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011

Exhibit No.	Description
S-105	
S-106	
S-107	Investment documents for John Norton: a) Sale of Contracts dated 11/16/2005 b) Custodial Agreement dated 11/16/2005 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-108	Investment documents for Philip Hatch: a) Sale of Contracts dated 12/1/2005 b) Custodial Agreement dated 12/1/2005 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-109	Investment documents for Bryan N and Kandy L Peters: a) Sale of Contracts dated 12/5/2005 b) Custodial Agreement dated 12/5/2005 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-110	Investment documents for Ray L Piles and Lisa R Fuhrman Living Trust 9/1/2004: a) Sale of Contracts dated 11/25/2005 b) Custodial Agreement dated 11/25/2005 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-111	Investment documents for Hospice of Havasu Inc.: a) Sale of Contracts dated 12/1/2005 b) Custodial Agreement dated 12/1/2005 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-112	
S-113	Investment documents for Kristine B Farmer and Gregory W Farmer: a) Sale of Contracts dated 12/17/2006 b) Pages from Sale of Contracts dated 12/17/2006 c) Pages from Sale of Contracts dated 12/17/2006 d) Custodial Agreement dated 2/17/2006 e) First Amendment to Sale of Contracts effective 2/1/2009 f) First Amendment to Sale of Contracts effective 2/1/2009 g) First Amendment to Sale of Contracts effective 2/1/2009
S-114	Investment documents for Melvin L. Morgan Trust Dated 9/4/2002 : a) Sale of Contracts dated 2/1/2006 for \$90,000 b) Sale of Contracts dated 2/1/2006 for \$60,000 c) Void Sale of Contracts dated 4/26/2004 for \$75,000 d) Custodial Agreement dated 2/1/2006 e) Custodial Agreement dated 2/1/2006 f) Custodial Agreement dated 4/26/2004 g) Signature page to First Amendment to Sale of Contracts effective 2/1/2009 h) Signature page to First Amendment to Sale of Contracts effective 2/1/2009 i) Second Amendment to Sale of Contracts effective 12/1/2011

Exhibit No.	Description
	j) Second Amendment to Sale of Contracts effective 12/1/2011
S-115	Investment documents for Bonnie Ferris-Spence: a) Sale of Contracts dated 5/7/2005 b) Sale of Contracts dated 3/7/2001 c) Custodial Agreement dated 3/7/2001 d) Second Amendment to Sale of Contracts effective 12/1/2011 e) f) g) Custodial Agreement dated 3/7/2001
S-116	Investment documents for Gary V. Wanzek: a) Sale of Contracts dated 1/1/2000 b) Custodial Agreement dated 1/1/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-117	Investment documents for the Richard or JoAnn Weaver Charitable Trust: a) Sale of Contracts dated 8/4/2000 b) Custodial Agreement dated 8/4/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-118	Investment documents for Charles R Wilson: a) Sale of Contracts dated 2/9/2000 b) Custodial Agreement dated 2/9/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) First Amendment to Sale of Contracts effective 2/1/2009 e) Second Amendment to Sale of Contracts effective 12/1/2011
S-119	Investment documents for Robert T and Antoinette R Holmes, (trustors of the Holmes Family Trust dated 11/1/99): a) Sale of Contracts for Robert T and Antoinette R Holmes dated 4/23/1999 b) Custodial Agreement dated 4/23/1999 c) Sale of Contracts dated 3/1/2000 d) Custodial Agreement dated 3/1/2000 e) First Amendment to Sale of Contracts effective 2/1/2009 f) Second Amendment to Sale of Contracts effective 12/1/2011
S-120	Investment documents for Bruce Lichtenberg: a) Sale of Contracts dated 3/29/2000 b) Custodial Agreement dated 3/29/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-121	Investment documents for William J Neathery Family Living Trust 8/17/1993 (Kristoffer Bachmann): a) Sale of Contracts dated 8/1/2001 b) Custodial Agreement dated 8/1/2001 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-122	Investment documents for William Neathery and Margaret Bachman-Neathery (Ashley Bachmann-Neathery): a) Sale of Contracts dated 7/20/2001 b) Custodial Agreement dated 7/20/2001 c) First Amendment to Sale of Contracts effective 2/1/2009

Exhibit No.	Description
	d) Second Amendment to Sale of Contracts effective 12/1/2011
S-123	Investment documents for Joanna Pellerito: a) Sale of Contracts dated 1/4/2001 b) Custodial Agreement dated 1/4/2001
S-124	Investment documents for George Sicuranzo and Tina M Sicuranzo, trustees of the Sicuranzo Trust dated 7/16/1992: a) Sale of Contracts dated 3/15/2001 b) Custodial Agreement dated 3/15/2001 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-125	Investment documents for Neil & Joyce Rudofsky: a) Sale of Contracts dated 11/15/2001 b) Custodial Agreement dated 11/15/2001 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-126	Investment documents for Mark Pryor: a) Sale of Contracts dated 6/1/2001 b) Custodial Agreement dated 6/1/2001 c) Second Amendment to Sale of Contracts effective 12/1/2011
S-127	Investment documents for Charles Poole (Carla Poole): a) Sale of Contracts dated 11/14/2001 b) Custodial Agreement dated 11/14/2001 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-128	Investment documents for the Thompson Family Trust dated 7/2/1991, Mae L. Thompson: a) Sale of Contracts dated 4/9/2001 b) Custodial Agreement dated 4/9/2001 c) Signature page for First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-129	Investment documents for the Charno Revocable Trust, Peter Charno, Trustee: a) Sale of Contracts dated 12/26/2001 b) Custodial Agreement dated 12/26/2001 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-130	Investment documents for Hitendra Chauhan and Mandeep Powar: a) Sale of Contracts dated 11/7/2001 b) Custodial Agreement dated 11/7/2001 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-131	Investment documents for the Gleason Family Trust: a) Sale of Contracts dated 3/12/2002 b) Custodial Agreement dated 3/12/2002 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-132	Investment documents for Charles Buttke: a) Sale of Contracts dated 5/21/1999 b) Custodial Agreement dated 5/21/1999 c) First Amendment to Sale of Contracts effective 2/1/2009

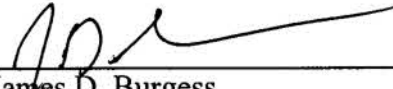
Exhibit No.	Description
	d) Second Amendment to Sale of Contracts effective 12/1/2011
S-133	Investment documents for the Foutz Family Trust Dated 12/92: a) Sale of Contracts dated 10/1/2000 b) Custodial Agreement dated 10/1/2000 c) First Amendment to Sale of Contracts effective 2/1/2009
S-134	Investment documents for Bradley Gardner Charitable Trust Dated 7/1/2001: a) Sale of Contracts dated 8/1/2001 b) Custodial Agreement dated 8/1/2001 c) First Amendment to Sale of Contracts effective 2/1/2009
S-135	Investment documents for Jack Hatfield: a) Sale of Contracts dated 8/29/2000 for \$100,000 b) Custodial Agreement dated 8/29/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011 e) Undated Sale of Contracts for the Estate of Marjorie Price Hatfield f) Undated Custodial Agreement for the Estate of Marjorie Price Hatfield
S-136	Investment documents for Jill McClaran and Paula Bilbao: a) Sale of Contracts dated 4/9/2001 b) Custodial Agreement dated 4/9/2001 c) First Amendment to Sale of Contracts for Jill McClaran d) Second Amendment to Sale of Contracts for Jill McClaran e) First Amendment to Sale of Contracts for Paula Bilbao f) Second Amendment to Sale of Contracts for Paula Bilbao
S-137	Investment documents for Jack and Susan Schuringa: a) Sale of Contracts dated 2/18/1998 b) Custodial Agreement dated 2/18/1998 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-138	Investment documents for Robert K Garst and Beverly R Garst Charitable Trust U/D/T dated 6/14/99: a) Sale of Contracts dated 7/13/1999 b) Custodial Agreement dated 7/13/1999 c) First Amendment to Sale of Contracts effective 2/1/2009
S-139	Investment documents for Charles and Barbara Canterbury: a) Sale of Contracts dated 9/11/1998 b) Custodial Agreement dated 9/11/1998 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-140	Investment documents for Jerry Ford and Mabelle Ridgway-Ford Charitable Remainder Trust Dated 11/25/98, David Wanzek, Trustee: a) Sale of Contracts dated 12/1/1998 b) Custodial Agreement dated 12/1/1998 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-141	Investment documents for AK Chase Charitable Remainder Trust Dated 3/29/94, Michel Bersch, Trustee: a) Sale of Contracts dated 3/1/2000 b) Custodial Agreement dated 3/1/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011

Exhibit No.	Description
S-142	Investment documents for Dennison Family Living Trust Dated 3/26/92, Stephen P. Dennison, Trustee: a) Sale of Contracts dated 3/30/2000 b) Custodial Agreement dated 3/30/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-143	Investment documents for Julie A. Duby and Stephen K Dennison: a) Sale of Contracts dated 1/4/2001 b) Custodial Agreement dated 1/4/2001 c) First Amendment to Sale of Contracts for Stephen K Dennison d) Second Amendment to Sale of Contracts for Stephen K Dennison e) First Amendment to Sale of Contracts for Julie A. Duby f) Second Amendment to Sale of Contracts for Julie A. Duby
S-144	Investment documents for Hedy H. Erbe or Charles A Erbe: a) Sale of Contracts dated 12/28/2001 b) Custodial Agreement dated 12/28/2001 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-145	Investment documents for Clarence and Mildred Harris: a) Sale of Contracts dated 5/14/1999 b) Amended Sale of Contracts dated 5/14/1999 c) Custodial Agreement dated 5/14/1999 d) First Amendment to Sale of Contracts effective 2/1/2009 e) Second Amendment to Sale of Contracts effective 12/1/2011
S-146	Investment documents for Frank and Joyce Nevaril, trustees of the Nevaril Family Trust: a) Sale of Contracts dated 5/5/2000 b) Custodial Agreement dated 5/5/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-147	Investment documents for Patrick and Shirley O'Connor, trustees of the O'Connor Family Trust: a) Sale of Contracts dated 8/21/2000 b) Custodial Agreement dated 8/21/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-148	Investment documents for William Pierce Family Trust Dated 5/17/87: a) Sale of Contracts dated 10/23/2000 b) Custodial Agreement dated 10/23/2000 c) First Amendment to Sale of Contracts effective 2/1/2009
S-149	Investment documents for Janet E. Thomsen, Trustee of the Janet E Thomsen Living Trust Dated 3/1/96: a) Sale of Contracts dated 2/29/2000 b) Custodial Agreement dated 2/29/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Signature page to Second Amendment to Sale of Contracts
S-150	Investment documents for William J Neathery Family Living Trust 8/17/1993 (Sheila Neathery): a) Sale of Contracts dated 8/1/2001 b) Custodial Agreement dated 8/1/2001 c) Sale of Contracts dated 12/1/2005 d) Custodial Agreement dated 12/1/2005 e) First Amendment to Sale of Contracts executed on 12/1/2005

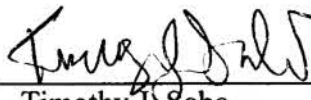
Exhibit No.	Description
	f) Second Amendment to Sale of Contracts executed on 12/1/2005
S-151	Investment documents for Margaret G Bachmann, Trustee of the Margaret G Bachmann Revocable Living Trust: a) Sale of Contracts dated 8/8/2000 b) Custodial Agreement dated 8/8/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-152	Investment documents for Gerald and Linda Hoffart: a) Sale of Contracts dated 12/8/2004 b) Custodial Agreement dated 12/8/2004 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-153	Investment documents for Dr. Jeff Barlow and Dr. Mayna Chau: a) Sale of Contracts dated 9/4/1998 b) Custodial Agreement dated 9/4/1998 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-154	Investment documents for Donald D. Brockmeier and Julie A. Carlisle: a) Sale of Contracts dated 1/1/2000 b) Custodial Agreement dated 1/1/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-155	Investment documents for Bonnie Ferris, Trustee for the Ferris Trust Dated 7/1/92: a) Sale of Contracts dated 10/6/1999 b) First Amendment to Sale of Contracts effective 2/1/2009 c) Second Amendment to Sale of Contracts effective 12/1/2011
S-156	Investment documents for John Gilje Inc.: a) Sale of Contracts dated 7/15/1999 b) Custodial Agreement dated 7/15/1999
S-157	Investment documents for John Gilje Inc.: a) Sale of Contracts dated 12/8/1999 b) Custodial Agreement dated 12/8/1999
S-158	Investment documents for John Gilje Inc.: a) Sale of Contracts dated 3/1/2000 b) Custodial Agreement dated 3/1/2000 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011
S-159	Investment documents for John Gilje: a) Sale of Contracts dated 10/5/2001 b) Custodial Agreement dated 10/5/2001 c) First Amendment to Sale of Contracts effective 2/1/2009 d) Second Amendment to Sale of Contracts effective 12/1/2011

1 RESPECTFULLY SUBMITTED this 2nd day of December, 2016.


2 ARIZONA CORPORATION COMMISSION

3
4 By 
5 James D. Burgess
6 Attorney for the Securities Division
7 Arizona Corporation Commission

8 SNELL & WILMER L.L.P.

9
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12 Attorneys for Lance Michael Bersch,
13 David John Wanzek, Linda Wanzek and
14 ER Financial & Advisory Services, L.L.C.

15 BASKIN RICHARDS PLC

16 By 
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18 David E. Wood
19 Attorneys for Concordia Financing Company,
20 Ltd.
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23
24
25
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1 On this 2nd day of December, 2016, the foregoing document was filed with Docket
2 Control as a Securities Division Stipulation, and copies of the foregoing were mailed on behalf of
3 the Securities Division to the following who have not consented to email service. On this date or as
4 soon as possible thereafter, the Commission's eDocket program will automatically email a link to
5 the foregoing to the following who have consented to email service.

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Consented to Service by Email

17
18 By Karen Houle